WASHINGTON STATE LIBRARY *Washington* **Secretary of State** SAM REED **Washington Rural Heritage** **2007 Grant Guidelines**	**GRANTS** INSTITUTE *of* **Museum** and **Library** SERVICES This grant cycle is supported with Library Services and Technology Act funding provided by the federal Institute of Museum and Library Services.

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Washington Rural Heritage is an initiative that supports small and rural libraries in the development of digital projects that aim to serve historically unique items and collections online. Primary candidate institutions are those without the means to digitize and serve online such items without outside support. The initiative encourages collaborative efforts between eligible public libraries and collaborative partners in the community (e.g., museums, genealogy societies, schools, etc.).

The goals of the Washington Rural Heritage Initiative include:

A. Create the Washington Rural Heritage collection; an aggregate of digital collections and items from libraries and other institutions in small and rural communities across the State of Washington, searchable from one system interface.

B. Establish specifications and standards to be followed by each participating institution to ensure consistency and quality.

C. Make available to small and rural libraries a statewide digital repository system that offers the needed infrastructure to package and make digital items available online.

D. Encourage public libraries in small and rural communities to take a coordinating roll in creating community collections.

E. Create a digital preservation model to preserve the objects over a long period.

Overview of this Grant Cycle

The purpose of this grant cycle is to provide grant funds to small and rural libraries to encourage the development of long-term sustainable digitization programs through the creation of an initial digital collection published as part of the Washington Rural Heritage collection. Collaborative partnerships among libraries, museums, schools, and other community organizations are encouraged, though not required.

It is not required that your library or staff members already have experience in digitization projects. However, please show how grant or matching funds will be used to gain the training and experience needed.

2. Library Eligibility

Public libraries or systems that serve a population of 25,000 or less, or individual branches that serve in an area whose population is 25,000 or less, are eligible to submit applications for this grant cycle subject to Library Services and Technology Act (LSTA) eligibility. LSTA eligibility guidelines may be reviewed at:
http://www.secstate.wa.gov/library/libraries/grants/eligibility.aspx.

The following limits shall apply to project applications:

A. One application per public library or system. Each branch within a public library system may be considered to be a separate library for the purposes of this grant cycle as long as they serve within an area whose population is 25,000 or less. In order to distribute available funds as widely as possible, a maximum of two branches from one public library system will be considered for an award.

B. Applying branches must provide signature or proof of authorization from system director or administration.

C. While collaboration between an eligible public library and another community organization(s) is encouraged, funds will be distributed to and administered by the public library.

3. Project Eligibility

This grant cycle is open to applicants either new to, or already participating in, the Washington Rural Heritage initiative.

All applications submitted must include a commitment to and plan for submitting at least fifty (50) items to the Washington Rural Heritage collection at the State Library by the end of the grant cycle (August 15, 2008). Items submitted must follow the digitization specifications and

metadata best practices outlined by the Washington Rural Heritage initiative (see Section 9, pages 9-10). Items will be acquired and served online using CONTENTdm software licensed paid for by the Washington State Library (WSL).

Applicants must consider copyright issues with the projects they develop in conjunction with their grant application. The WSL will leave all copyright research and assumption of liability to participating institutions. Upon award of grant, the lead library must sign a contract granting the WSL permission to publish the items online (sample of contract available upon request). This may require a memo of agreement with collaborative partners so the library has the authority to grant publication permission.

Priority consideration will be given to those libraries that exhibit a desire to sustain a digital program and continue digital projects in their library beyond the initial fifty (50) items.

Funds may be used by libraries to purchase digital scanners or software (see equipment specification sheet, Section 9, page 8), train staff and/or volunteers to digitize, research and/or catalog items, pay salary of staff and/or contract services to digitize and/or research and catalog items. Note: if your library already has scanning or other digital imaging equipment, it is still important that you check the specification sheet to make sure your existing equipment can produce images that follow the digitization specifications (see Section 9, page 9).

Grant funding may not be used to purchase computers, food and refreshments, or incentives. For more guidance visit the Frequently Asked Questions (FAQs), at http://www.secstate.wa.gov/library/libraries/grants/grants.aspx.

4. Funding Available

Overall funding to support this grant cycle is $30,000. This grant cycle has a limit of $5,000 per application. It is anticipated that six or more applicants may receive awards. Awards will be made contingent upon receipt of federal funds and distribution of those funds by the Washington State Library, a division of the Office of the Secretary of State.

5. Timeframe

The following timeline has been developed for the purpose of providing information about this grant cycle and to assist applicants in developing appropriate projects and applications.

Tentative Dates
- **December 10 , 2007** — Tentative date for grant cycle opening
- **December 10, 2007 – January 28, 2008** — A time to explore possible partnerships and projects, review guidelines, view online webinars, develop an application
- **February 15, 2008** — Application deadline
- **February 18 – March 7, 2008** — Application review
- **March 10, 2008** — Anticipated date for grant awards; all applicants notified
- **March 11 – April 20, 2008** — Contract development and execution
- **April 23, 2008** — Anticipated date that all contracts are fully executed and that project implementation can begin
- **August 15, 2008** — Date project activity must end; at least 50 items and their accompanying metadata must be submitted to the Washington Rural Heritage project manager by this date

6. Application Process

A. Review the grant cycle materials, including the Frequently Asked Questions (FAQs), at http://www.secstate.wa.gov/library/libraries/grants/grants.aspx. The grant cycle opens on December 10, 2007.

   An announcement of the grant cycle is sent via mail or e-mail to public libraries and various listservs including WSL Updates, Washington Rural Heritage, and WLA; and to those who have requested to be notified of this grant cycle.

   Application guidelines, forms, and other materials may be obtained by visiting the WSL Web site and printing appropriate Web pages or downloading the Word files. Materials may also be obtained by contacting the Grants Program staff as noted at the end of these guidelines.

B. Review the criteria contained within the application to determine eligibility to apply.

C. Complete the application form; reply to **all** questions. Secure all required signatures.

D. Respond to the criteria, checking either yes or no for each item.

E. General questions regarding the application process may be obtained by contacting the Washington Rural Heritage project manager or the Grants Program staff by e-mail or phone. Staffing limitations preclude review and comment on draft applications.

F. Submit applications to the Washington State Library **postmarked or hand delivered** by **4 p.m. on Friday, February 15, 2008**. Faxed applications are **NOT** acceptable for this funding request.

   An application consists of three components:

   1. One, single-sided, signed original; clearly identified as the original

   2. One paper copy; *and*

   3. An electronic copy in Word or rich text format (on USB drive or CD); or sent as an email attachment to ayarbrough@secstate.wa.gov).

   Submit applications to the address below:

By Mail	*By Hand or Delivered*
Grants Program	*Grants Program*
Washington State Library	*Washington State Library*
PO Box 42460	*6880 Capitol Blvd S*
Olympia, Washington 98504-2460	*Tumwater WA 98501-5513*

G. A fully completed and signed application received in the mail or hand delivered will be accepted for the purposes of review and ranking.

H. A review committee selected by WSL will review the applications for eligibility. If eligible requests exceed available funding, awards will be based on application scoring. The review committee will forward recommendations to the State Librarian and the Secretary of State for final consideration and approval. WSL may contact the applicant for clarification of information.

I. In order to distribute available funding as widely as possible, note that library systems may submit no more than two (2) applications, not to exceed one (1) application per branch. If more than two applications are received, WSL reserves the right to determine which applications are eligible for consideration.

J. After award of funding, a letter of notification will be sent to all applicants. Contracts will then be established with those receiving awards. Reimbursable project costs may not be incurred until contracts are fully signed by both the Office of the Secretary of State (Washington State Library) and the award recipient. Costs incurred prior to contract execution are not reimbursable.

K. The final twenty percent (20%) of the award amount will be held until all contract conditions have been satisfied. If fifty (50) items are not submitted to the Washington Rural Heritage project by August 15, 2008, that amount will not be reimbursed.

7. Requirements

A. Libraries must expend local money first and then claim reimbursement. Funds will not be distributed in advance of activities and purchases taking place. Funds will only be distributed on a reimbursement basis. Funds requested for the proposed project must not take the place of previously budgeted local funding.

B. Applicant/sub-grantee overhead expenses and administrative costs are not eligible for LSTA reimbursement. They may be used as match for the proposed project.

C. The purchase of all equipment costing over $5,000, made in whole or in part with grant funding, requires prior written approval from WSL. Purchases made in advance of receiving written approval are not reimbursable.

D. Applicants must commit to compliance with grant administration requirements. The lead applicant library must also act as fiscal agent for awarded contracts. A final report will be submitted to WSL providing a complete summary of the project and of all grant activities. The contract document will indicate the latest date for submission of the required final report. Reimbursement claims will be made on forms provided by WSL. Documentation of expenses will be required.

E. Children's Internet Protection Act (CIPA):
    Because grant funds in this grant cycle may not be used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet, submission of a CIPA form is **not required**.

F. The Washington State Library and the Institute of Museum and Library Services (IMLS) must be acknowledged as providing LSTA funding to support the project in all project-related public events, press releases, printed materials, and Web sites.

G. All projects and activities must be completed and funds expended by **August 15, 2008**. Applicants proposing projects that will use LSTA grant funding beyond August 15, 2008, will not be considered for this grant cycle.

8. Assurances

The Washington State Library and the Sub-Grantee agree that all activity pursuant to a Grant Agreement will be in accordance with all applicable, current, or future federal, state, and local laws, rules, and regulations. Specifically, this includes laws, rules, and regulations such as:

A. 45 Code of Federal Regulations (CFR) Part 1183, Uniform Administrative Requirements for Grants and Cooperative Agreements;

B. 45 Code of Federal Regulations (CFR) Part 1185, Government Wide Debarment and Suspension (Nonprocurement) and Government Wide Requirements for Drug-Free Workplace (Grants);

C. Office of Management and Budget (OMB) Circular A-21 Revised, Cost Principles for Educational Institutions;

D. Office of Management and Budget (OMB) Circular A-87 Revised, Cost Principles for State, Local and Indian Tribal Governments;

E. Office of Management and Budget (OMB) Circular A-122, Cost Principles for Non-Profit Organizations; and

F. Office of Management and Budget (OMB) Circular A-133 Revised, Audits of States, Local Governments, and Non-Profit Organizations.

Code of Federal Regulations (CFR)

The CFRs can be inspected by accessing the following URL: http://www.gpoaccess.gov/cfr/index.html On this page is a box labeled "Quick Search". To inspect 45 CFR Part 1183, enter 45CFR1183 in this box and click on the "Submit" button. A search list is returned that includes specific parts, sections, and subsections of 45 CFR Part 1183. If you are interested in inspecting the full title, scroll to the bottom of the page. You will find one item titled: 45CFR1183-- PART 1183--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS. This item contains the full text of this title and is available as a text file (.txt) or as an Adobe Acrobat (.pdf) file. If you are interested in just a part of this overall title and you know the name for the specific section, such as Copyrights, scroll to the title for that section.

The Code of Federal Regulations 45 CFR Part 1183 includes sections related to the scope and applicability of the provisions, financial administration requirements, contract administration requirements, and close-out of projects.

The Code of Federal Regulations 45 CFR Part 1185 provides that an individual, corporation, unit of government or other entity that is debarred or suspended shall be excluded from Federal financial or non-financial assistance and benefits under Federal programs and activities.

Office of Management and Budget (OMB) Circulars
The following OMB Circulars can be inspected by accessing the following URL: http://www.whitehouse.gov/omb/grants/index.html Click on "Circulars". The specific circular of interest can then be selected.

OMB Circular A-21 establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

OMB Circular A-87 establishes principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally-recognized Indian tribal governments (governmental units).

OMB Circular A-122 establishes principles for determining costs of grants, contracts and other agreements with non-profit organizations.

OMB Circular A-133 is issued pursuant to the Single Audit Act of 1984, P.L. 98-502, and the Single Audit Act Amendments of 1996, P.L. 104-156. It sets forth standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and non-profit organizations expending federal awards.

Other Requirements:

If the Sub-Grantee includes a construction component as part of the overall project even if this component is not funded by federal funds, the following shall also apply and includes laws, rules, and regulations that are the provisions of 45 CFR 1183.36(i); including but not limited to:

A. Section 306 of the Clean Air Act (42 U.S.C. 1857(h)), and section 508 of the Clean Water Act (33 U.S.C. part 15). Note: Applies to contracts, subcontracts, and sub-grants of amounts in excess of $100,000.

B. Mandatory standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163).

C. Compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR part 3). Note: Applies to all contracts, grants, and sub-grants for construction or repair.

D. Compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) as supplemented by Department of Labor regulations (29 CFR part 5). Note: Applies to construction contracts in excess of $2,000 awarded grantees and sub-grantees when required by Federal Grant Program legislation.

E. Compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5). Note: Applies to construction contracts awarded grantees and sub-grantees in excess of $2,000, and in excess of $2,500 for other contracts which involve employment of mechanics or laborers.

9. Additional Information

Equipment Specification Sheet

For many projects, a quality, color flatbed or film scanner along with image optimization software (e.g., Adobe Photoshop) is needed to produce and submit high quality image files for most material types. For projects that aim to digitize large-format or 3-D objects, a high-end digital camera is needed. A high-output digital camera system can cost upward of $25,000. The 2007 Washington Rural Heritage grant cycle is not meant to cover the cost of such a system. If your project requires such a system, you may want to consider contracting out this work, finding local funds, or selecting material that does not require such specialized equipment.

As always, the equipment you need for your project will depend upon the size and type of the items you plan to digitize. Please consult the digitization specifications requirement table below for some general item types and recommended resolution parameters.

Flatbed scanner minimum specifications:

Capture Software: Must give the operator the control to set white and black points and turn off automatic sharpening. You may also consider purchasing software, such as Adobe Photoshop, used to optimize the images for printing and Web publication.

Optical Resolution: Minimum of 2400 ppi optical resolution uninterpolated. However, consider buying a scanner with the highest optical resolution you can afford. 2400 ppi is enough to cover most text, photo and some film sizes but is on the low side as far as optical resolution is concerned.

Size: This depends upon what you plan on scanning. You'll want to leave at least a quarter of an inch around the original during capture (more if you plan to use a color bar). Most flatbed scanners offer bed sizes between 8 x 12" and 12 x 17".

Bit Depth: Equipment should be able to capture at least 1 bit (b&w), 8-bit (grayscale), and 24-bit (color). Most flatbed scanners can capture 36 to 48-bit or higher.

Dynamic Range: Dmax of 3.5 as a minimum. Again, consider buying a scanner with the highest dynamic range you can afford.

Transparency Adapter: If your project includes transmitted light materials (film) you'll need a transparency adapter (i.e., back-lit lid or film tray).

As a frame of reference, an Epson Perfection V750-M PRO scanner is used by Washington Rural Heritiage staff.

Digitization Recommendations and Minimum Requirements

Below are examples of general types of items and the recommended and required parameters for digitization. This information follows the minimum specifications set out in the U.S. National Archives and Records Administration (NARA), Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files – Raster Images, http://www.archives.gov/research/arc/digitizing-archival-materials.pdf (see section V. DIGITIZATION SPECIFICATIONS FOR RECORD TYPES, p. 41-59).

Format type	Recommended parameters	Minimum parameters
Photo Negatives • small negatives (35 mm and up to 4x5") • 4x5" and up to 8x10" • 8x10" and up	• 4000 ppi across the long edge (e.g., 35 mm should be scanned at approx 2800 ppi) • 6000 ppi • 8000 ppi	3000 ppi (e.g., 35 mm should be scanned at approx 2100 ppi)
Photographic prints • Up to 8x10" • 8x10" to 11x14" • 11x14" and up	• 4000 ppi across the long edge (e.g., 3.5x5" should be scanned at 800 ppi) • 6000 ppi • 8000 ppi	3000 ppi (e.g., 3.5x5" should be scanned at 600 ppi)
Textual documents (including black and white text, graphic illustrations, artwork originals, maps, plans, other oversized documents)	4000-6000 ppi across the long edge (e.g., a clean, high contrast 8 x 11.5" document should be scanned at approx 400 ppi)	3000 ppi across the long edge (e.g., a clean, high contrast 8 x 11.5" document should be scanned at approx 300 ppi)

Note: To determine scanning resolution, divide the recommended ppi (pixels per inch) parameter by the number of inches across the long edge of the item being scanned. For example: divide 6000 by for an 8 x 10 in. photographic print. This means the photo should be scanned at 600 ppi. For those items that don't divide evenly, round up and scan at the next highest ppi setting on your scanner.

Metadata Guidelines Table

Below are the general metadata elements required by Washington Rural Heritage. These elements are available in the CONTENTdm system. This information *mostly* follows the CDP (Collaborative Digitization Program) Dublin Core Metadata Best Practices Version 2.1, http://www.cdpheritage.org/cdp/documents/cdpdcmbp.pdf (September 2006). Exceptions and local implementations are documented in the Washington Rural Heritage Metadata Supplement (http://wikihost.statelib.lib.wa.us/wrh/GetFile.aspx?File=WRH_md_supp_CDPDC.doc).

Metadata elements	Mandatory	Format or controlled vocabulary
Title	Yes	Consult documentation
Creator	Yes (if known)	Consult documentation
Subject		
• Subject	Yes	LCTGM I
• Subject (Local)	No	Local controlled vocab
• Subject-Categories	Yes	WRH controlled vocab
• Subject-Location	Yes	Getty TGN
• Subject-Names	No	Consult documentation
Description	Yes	Consult documentation
Publisher		
• Original	No	Consult documentation
• Digital	Yes	Washington State Library; others if known
Date		
• Original date	Yes (if known)	YYYY-MM-DD
• Original date range	No	YYYY - YYYY
• Digital	Yes	YYYY-MM-DD
Type	Yes	DCMI Type vocab
Format		
• Original	No	Consult documentation
• Digital	Yes	IMT terms
Digitization Specifications	Yes	Consult documentation
Resource Identifier	Yes	Consult documentation
Source	Yes	Local call/accession number or other identifier
Language	No	ISO639-2 codes
Collection	Yes	Collection name - consult documentation
Coordinates	No	GNIS
Rights Management	Yes	Consult documentation
Contributing Institution	Yes	Name of holding institution
Transcript	No	Full-text of item (typed or OCR output)

10. Contact Information

- Web site for grant information:
  http://www.secstate.wa.gov/library/libraries/grants/grants.aspx

- Laura Robinson, Project Manager – Washington Rural Heritage, 360.570.5568, lrobinson@secstate.wa.gov

- Jeff Martin, Grants Program, 360.704.5248, jmartin@secstate.wa.gov

- Anne Yarbrough, Grants Program, 360.704.5246, ayarbrough@secstate.wa.gov